

## TECHNICAL FIELD

## BACKGROUND OF THE INVENTION

The “roaming user” made possible by mobile computing, and in particular wireless links, makes the AAA task increasingly challenging. In this context security protocols need to accommodate wireless links and decentralized operations. Significant latency may be encountered in a network access to a Personal Area Network (PAN), Local Area Network (LAN) or Wide Area Network (WAN). However, the intrinsically transient nature of

interactions with mobile computing units requires low latency connections to provide an acceptable computing experience to users. In particular, users should be able to rapidly establish connections on secure links regardless of whether the access point exists within an intranet or on an externally located dynamically established link. Novice users or new employees should be able to obtain at least limited privileges to use a secure network. Many problems, such as those outlined above remain in implementing secure links that utilize advanced network access control and encryption/authentication schemes or flexible conference topologies. These problems present new challenges in the area of network server systems supporting wireless networking.

### SUMMARY OF THE INVENTION

The invention described herein addresses these problems and facilitates creating a computer network for establishing dynamic secure links between a client and a server device in the course of establishing secure connections over a wider range of network links. In particular client side protocols are described to enable exchanging information to establish a secure connection. Furthermore, methods and systems incorporating the present invention establish a key exchange protocol in a wireless connected computing environment. The key exchange is accomplished through judicious choices of an extensible authentication protocol (EAP) and transport level security (TLS).

A method for setting up and managing secure data/audio/video connections with secure key exchanges, authentication and authorization is set forth herein. The method includes implementing TLS within the EAP. An embodiment of the invention allows a machine to establish secure connections with limited privileges if a user of the machine does not provide satisfactory user identifying information. This method permits flexible management of a network comprising machines and network links that differ in their security capabilities and susceptibilities. Furthermore, a user's failure to present user identifying authenticating information initiates a machine logon process, thus relaxing requirements associated with a typical logon process and providing a basic level of access when appropriate.

An embodiment of the invention allows a user connected to a secure network via an insecure link only limited access to the secure network following authentication. A user logged on via an insecure link is granted a more limited set of privileges than the same user receives when logged on via a secure link.

5 In an embodiment of the invention, a machine establishes a secure link without a user logging on. Consequently, mission critical servers are able to stay on the network without the need for a user to be logged on as well. And a user logon does not disrupt the security access of the machine.

Additional features and advantages of the invention will be made apparent from  
10 the following detailed description of illustrative embodiments, which proceeds with reference to the accompanying figures.

### **BRIEF DESCRIPTION OF THE DRAWINGS**

While the appended claims set forth the features of the present invention with particularity, the invention, together with its objects and advantages, may be best  
15 understood from the following detailed description taken in conjunction with the accompanying drawings of which:

FIGURE 1 is a block diagram generally illustrating an exemplary computer system on which the present invention resides;

FIGURE 2 is an illustration of the general computing environment in which an  
20 embodiment of the invention functions;

FIGURE 3 illustrates another computing environment suitable for wireless links between an access point in a secure network and a mobile computing unit;

FIGURE 4 illustrates a computing environment supporting remote access by a mobile computing unit with authentication via a remote proxy radius server that is  
25 trusted, or at least known to the secure network being accessed by the mobile computing unit;

FIGURE 5 is a flow diagram illustrating the steps for a trusted user to obtain a machine identity for a machine;

FIGURE 6 is a flow diagram illustrating the steps for a trusted machine logging on along with the use of a default user identifier to initiate the logon, with system administrator intervention, by a machine or user without proper credentials;

FIGURE 7 is a flow diagram summarizing steps for obtaining access to  
5 computing resources in a secure network using a machine identity;

FIGURE 8 is a flow diagram summarizing steps for using a default user identifier to invoke a system administrator to enable a user without satisfactory authentication information to access the network without physically visiting a centralized facility;

FIGURE 9 is a flow diagram summarizing a set of steps for a remote mobile  
10 computing unit obtaining access to a secure network via a proxy radius server; and

FIGURE 10 is a flow diagram summarizing a set of steps for authentication of a remote user who is seeking access to resources on a secure network.

### **DETAILED DESCRIPTION OF THE INVENTION**

Turning to the drawings, wherein like reference numerals refer to like elements,  
15 the invention is illustrated as being implemented in a suitable computing environment. Although not required, the invention will be described in the general context of computer-executable instructions, such as program modules, being executed in a computing environment. Generally, program modules include routines, programs, objects,  
20 components, data structures, etc. that perform particular tasks or implement particular abstract data types. Moreover, those skilled in the art will appreciate that the invention may be practiced with other computer system configurations, including hand-held devices, multi-processor systems, microprocessor based or programmable consumer electronics, network PCs, minicomputers, mainframe computers, and the like. The invention may also be practiced in distributed computing environments where tasks are  
25 performed by remote processing devices that are linked through a communications network. In a distributed computing environment, program modules may be located in both local and remote memory storage devices.

FIGURE 1 illustrates an example of a suitable computing system environment  
100 on which the invention may be implemented. The computing system environment  
30 100 is only one example of a suitable computing environment and is not intended to

suggest any limitation as to the scope of use or functionality of the invention. Neither should the computing environment 100 be interpreted as having any dependency or requirement relating to any one or combination of components illustrated in the exemplary operating environment 100.

5           The invention is operational with numerous other general-purpose or special-purpose computing system environments or configurations. Examples of well-known computing systems, environments, and configurations that may be suitable for use with the invention include, but are not limited to, personal computers, server computers, hand-held or laptop devices, multiprocessor systems, microprocessor-based systems, set top  
10   boxes, programmable consumer electronics, network PCs, minicomputers, mainframe computers, and distributed computing environments that include any of the above systems or devices.

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20   remote computer storage media including memory storage devices.

          With reference to FIGURE 1, an exemplary system for implementing the invention includes a general-purpose computing device in the form of a computer 110. Components of the computer 110 may include, but are not limited to, a processing unit  
25   120, a system memory 130, and a system bus 121 that couples various system components including the system memory to the processing unit 120. The system bus 121 may be any of several types of bus structures including a memory bus or memory controller, a peripheral bus, and a local bus using any of a variety of bus architectures. By way of example, and not limitation, such architectures include Industry Standard  
30   Architecture (ISA) bus, Micro Channel Architecture (MCA) bus, Enhanced ISA (EISA) bus, Video Electronics Standards Association (VESA) local bus, and Peripheral Component Interconnect (PCI) bus, also known as Mezzanine bus.

The computer 110 typically includes a variety of computer-readable media. Computer-readable media can be any available media that can be accessed by the computer 110 and include both volatile and nonvolatile media, removable and non-removable media. By way of example, and not limitation, computer-readable media may

5 include computer storage media and communications media. Computer storage media includes both volatile and nonvolatile, removable and non-removable media implemented in any method or technology for storage of information such as computer-readable instructions, data structures, program modules, or other data. Computer storage media

10 include, but are not limited to, random-access memory (RAM), read-only memory (ROM), EEPROM, flash memory, or other memory technology, CD-ROM, digital versatile disks (DVD), or other optical disk storage, magnetic cassettes, magnetic tape, magnetic disk storage, or other magnetic storage devices, or any other medium which can be used to store the desired information and which can accessed by the computer 110.

Communications media typically embody computer-readable instructions, data structures,

15 program modules, or other data in a modulated data signal such as a carrier wave or other transport mechanism and include any information delivery media. The term "modulated data signal" means a signal that has one or more of its characteristics set or changed in such a manner as to encode information in the signal. By way of example, and not

20 limitation, communications media include wired networks and wireless media such as acoustic, RF, and infrared and optical media. Combinations of the any of the above should also be included within the scope of computer-readable media.

The system memory 130 includes computer storage media in the form of volatile and nonvolatile memory such as ROM 131 and RAM 132. A basic input/output system (BIOS) 133, containing the basic routines that help to transfer information between

25 elements within the computer 110, such as during start-up, is typically stored in ROM 131. RAM 132 typically contains data and program modules that are immediately accessible to or presently being operated on by processing unit 120. By way of example, and not limitation, FIGURE 1 illustrates an operating system 134, application programs 135, other program modules 136, and program data 137. Often, the operating system 134

30 offers services to applications programs 135 by way of one or more application programming interfaces (APIs) (not shown). Because the operating system 134

incorporates these services, developers of applications programs 135 need not redevelop code to use the services. Examples of APIs provided by operating systems such as Microsoft's "WINDOWS" are well known in the art.

The computer 110 may also include other removable/non-removable,  
5 volatile/nonvolatile computer storage media. By way of example only, FIGURE 1 illustrates a hard disk interface 140 that reads from and writes to non-removable, nonvolatile magnetic media, a magnetic disk drive 151, which may be internal or external, that reads from and writes to a removable, nonvolatile magnetic disk 152, and an optical disk drive 155 that reads from and writes to a removable, nonvolatile optical  
10 disk 156 such as a CD ROM. Other removable/non-removable, volatile/nonvolatile computer storage media that can be used in the exemplary operating environment include, but are not limited to, magnetic tape cassettes, flash memory cards, DVDs, digital video tape, solid state RAM, and solid state ROM. The hard disk drive 141, which may be internal or external, is typically connected to the system bus 121 through a non-  
15 removable memory interface such as interface 140, and magnetic disk drive 151 and optical disk drive 155 are typically connected to the system bus 121 by a removable memory interface, such as interface 150.

The drives and their associated computer storage media discussed above and illustrated in FIGURE 1 provide storage of computer-readable instructions, data  
20 structures, program modules, and other data for the computer 110. In FIGURE 1, for example, hard disk drive 141 is illustrated as storing an operating system 144, application programs 145, other program modules 146, and program data 147. Note that these components can either be the same as or different from the operating system 134, application programs 135, other program modules 136, and program data 137. The  
25 operating system 144, application programs 145, other program modules 146, and program data 147 are given different numbers here to illustrate that they may be different copies. A user may enter commands and information into the computer 110 through input devices such as a keyboard 162 and pointing device 161, commonly referred to as a mouse, trackball, or touch pad. Other input devices (not shown) may include a  
30 microphone, joystick, game pad, satellite dish, and scanner. These and other input devices are often connected to the processing unit 120 through a user input interface 160

that is coupled to the system bus, but may be connected by other interface and bus structures, such as a parallel port, game port, or a universal serial bus (USB). A monitor 191 or other type of display device is also connected to the system bus 121 via an interface, such as a video interface 190. In addition to the monitor, computers may also include other peripheral output devices such as speakers 197 and printer 196, which may be connected through an output peripheral interface 195.

The computer 110 may operate in a networked environment using logical links to one or more remote computers, such as a remote computer 180. The remote computer 180 may be a personal computer, a server, a router, a network PC, a peer device, or other common network node, and typically includes many or all of the elements described above relative to the computer 110, although only a memory storage device 181 has been illustrated in FIGURE 1. The logical links depicted in FIGURE 1 include a local area network (LAN) 171 and a wide area network (WAN) 173, but may also include other networks. Such networking environments are commonplace in offices, enterprise-wide computer networks, intranets, and the Internet.

When used in a LAN networking environment, the computer 110 is connected to the LAN 171 through a network interface or adapter 170. When used in a WAN networking environment, the computer 110 typically includes a modem 172 or other means for establishing communications over the WAN 173, such as the Internet. The modem 172, which may be internal or external, may be connected to the system bus 121 via the user-input interface 160, or via another appropriate mechanism. In a networked environment, program modules depicted relative to the computer 110, or portions thereof, may be stored in a remote memory storage device. By way of example, and not limitation, FIGURE 1 illustrates remote application programs 185 as residing on memory device 181, which may be internal or external to the remote computer 180. It will be appreciated that the network links shown are exemplary and other means of establishing a communications link between the computers may be used.

In the description that follows, the invention will be described with reference to acts and symbolic representations of operations that are performed by one or more computers, unless indicated otherwise. As such, it will be understood that such acts and operations, which are at times referred to as being computer-executed, include the





key. This ensures that the CA will know which public key to use for further decryption once it decrypts the message with its own private key. Furthermore, successful decryption of the message assures the CA that the message originated with the user since it had to be encoded by the user's private key to permit decryption by the user's public key. Thus, a CA, particularly one that issued the user's private key, can check a database to verify the claimed identity.

The CA now encrypts information about the identity of the user including the public key corresponding to the private key using its own private key to form the authenticating certificate, possibly with a digital signature. A party seeking to authenticate the identity of the user decrypts the certificate with the CA's public key. Thus, advantageously the certificate also provides the party seeking to authenticate the user's identity with the user's public key.

While the user can read the information certified by the CA, the user cannot alter the information without being detected since the user does not know the CA's private key. Furthermore, the CA may attach an encrypted one-way hash of the message so that a recipient can further gain confidence that the entire message is authentic even if it is received in smaller parts. A one-way hashing function is often chosen because altering the message while retaining the same hashing result is a significantly difficult undertaking further attesting to the authenticity of the attached message. In other words, the encrypted messages can be read by many people since the decoding key is a public key, but they cannot be altered without the altered state being flagged. In addition, such an authenticating certificate and the associated keys may be provided with a finite lifetime thus making tampering and reverse engineering difficult.

Further details of key exchange, authentication and authorization requests to enable secure client-server communications are described in the attached documents in the appendix titled "*IEEE 802.11 Security White Paper*," "*IEEE 802.1X Supported Scenarios*," and "*Bluetooth Security Architecture Version 1.0*," which are incorporated in their entirety in the present application.

FIGURE 2 illustrates an exemplary computing environment 200 having a set of dynamic links, a set of static links and a plurality of devices. The computing environment 200 includes an intranet 205 connected to a router 210, which, in turn,



Such users may be visitors, new or former employees and the like who need some access to a secure network. Trusted users may access network resources via either trusted or non-trusted machines connected to the network.

Providing a limited form of access to new users or users who have misplaced passwords or otherwise failed to properly log on makes their computing experience smoother and less intimidating. Similarly, allowing sufficient access enabling new users and employees to directly interact with a system administrator decentralizes the process of adding and removing users while retaining centralized control. Decentralization exists in the sense that the new employee need not physically go to a central location to receive authorization to access restricted computing resources. The access limits placed on non-authenticated users are tailored to avoid compromising network resource security. To this end the same user has different authorizations to better reflect the relative security risks associated with the circumstances under which the user logs on. For example, a user accessing computing resources from a remote site may have more limited privileges than a user using a machine within a building housing intranet 205 or a user using a trusted machine. Thus, the disclosed method and system allow users with mobile computing units access to a computing environment with varied levels of access, i.e., authorization, depending on the identity of the mobile computing unit and/or the context under which access is requested.

FIGURE 3 illustrates a computing environment 300 suitable for supporting wireless links. A mobile computing unit 305 can associate with the computing environment 300 via a link 310 having an access point 315. Access point 315 serves as an authenticator for the mobile computing unit 305 to grant access to computing resources in the computing environment 300. Access point 315 forwards asserted identities and certificates to authenticate asserted identities received from the mobile computing unit 305 to a Remote Authentication Dial-In User Service ("radius") server 325. The radius server 325 forwards requests for identity and proof of identity to the access point 315 for further forwarding to the mobile computing unit 305 to prevent any direct communication between the radius server 325 and a non-authenticated mobile computing unit 305.

FIGURE 4 illustrates a mobile computing unit 400 attempting access to an intranet 405 from a remote site. The mobile computing unit 400 associates with a remote access point 410, which acts as an authenticator and uses a proxy radius server 415 to authenticate the mobile computing unit 400. Following successful authentication the access point 410 forwards packets directed to the network to a VLAN switch 420. The VLAN switch 420 consults a registration and enrollment server 430 to determine if the mobile computing unit 400 is permitted to remotely access the VLAN 425 connected to the intranet 405. In case of a duly registered mobile computing unit 400, communications directed to the VLAN 425 or to a server 435 connected via the intranet 405 are forwarded appropriately. If authentication fails then packets are blocked from further propagation to the VLAN 425, or server 435.

In accordance with the invention there are two possible logon states for a user and machine respectively: user with valid credentials; user without valid credentials; machine with valid credentials; and machine without valid credentials. The machine and user logon states together generate four possible logon states. The invention includes embodiments exhibiting a preference for one of the possible logon states over another of the possible logon states.

In an embodiment of the invention, if a user is unable to provide an authenticated identity, the machine used by the user can provide an identity to allow a machine-based log-in procedure to provide limited access. FIGURE 5, which should not be construed to limit the variations on the steps, illustrates a possible set of steps for allowing a trusted machine to log-in using its' machine identity. To this end, a trusted user initially establishes the trusted status of the machine. Step 500 of FIGURE 5 shows a trusted user requesting a machine identity for the machine being used by the user. The network server, for example a domain controller, determines whether the user is trusted during step 505 and authorized at step 510 to make such a request. If the user is authorized to make the request then the network server provides unique machine identification (step 515). Otherwise at step 520 the network server refuses the request. At step 525 the network server requests a CA to provide a certificate to prove the identity of the machine and during step 530 forwards the certificate to the machine. In step 535 the machine identifier and certificate are advantageously stored on the machine for subsequent use.

In an embodiment of the invention illustrated in FIGURE 6, machine

authentication and user authentication are carried out either with the use of acceptable credentials or with the use of a default user ID to allow system administrator intervention

in machine or user authentication. Step 600 includes a request to access the network. If

5 machine credentials are available then control passes from step 605 to step 610 and the machine authenticates. Although in this embodiment the user cannot also authenticate on the same machine this should not be interpreted to be a limitation on the scope of the invention. Step 610 is particularly useful for starting servers on a network without requiring that a user be logged on at the same time. Moreover some such machines in

10 privileged locations may not even provide a user interface. If the machine fails to authenticate the control transfers to step 615. On the other hand, if the machine does not have credentials then control transfers to step 620 from step 605. Step 620 includes the machine using a default user identifier to initiate machine authentication, which is successful in step 625 or fails in step 630. The control from steps 620, 625 and 630

15 passes to step 635. Step 635 includes instructions to initiate user log-in. If user credentials are available then the user causes the control to transfer to step 645 to indicate successful user authentication and termination of the procedure. On the other hand, if the user credentials are unacceptable then user authentication fails in step 650 followed by termination of the procedure. In the event user credentials are not available in step 640 user causes the control to be transferred to step 655 by the successful use of the default user identifier. Failure to authenticate using default user identifier results in control passing to step 660 and eventual end of the authentication procedure.

20 An exemplary embodiment in an Extensible Authentication Protocol ("EAP") compatible environment includes an EAP start message. Of course, in other environments other start messages could be employed, for example, with a view to reduce the total number of messages employed to carry out the initial transactions.

30 An embodiment of an authentication procedure on a trusted machine is illustrated in FIGURE 7. During step 700 a user issues a start message to express interest in accessing a computing environment. A wireless access point receives the start message for establishing a wireless link. The wireless access point is configured to not forward data traffic to either the underlying wired network or another wireless mobile computing

device from an unauthenticated connection. The access point acting as an authenticator provides limited interaction to authenticate the requester prior to establishing a suitable link. To this end, at step 705 the access point requests the identity of the requester to initiate the authentication procedure if such identity is lacking, e.g., in the start message.

- 5 In response to this request, in step 710 the requester provides an authenticable identity if one is available. This determination consists of a time-out period. Alternatively, the requester explicitly indicates the inability to provide the requested identity.

- If the requested identity is available, then standard authentication procedures are performed in step 715. In the standard procedure the access point forwards the asserted  
10 identity to a radius server. The radius server transmits a challenge to the access point, which in turn forwards it to the mobile computing unit. The mobile computing unit and the radius server cannot directly communicate with each other to ensure security of the network resources. However, if a valid identity is not provided then the trusted machine provides a machine identity at step 720. The access point forwards the trusted machine  
15 identity to the radius server, which, in turn, provides a challenge to be forwarded by the access point to the mobile computing unit.

- During step 725, the access point challenges the asserted identity by requesting proof of the asserted identity in accordance with the challenge provided by the radius server. The mobile computing unit submits a certificate to the access point to prove the  
20 asserted machine identity in step 730. In step 735 the access point provides limited access commensurate with the asserted and authenticated machine identity if the certificate is valid.

- FIGURE 8 illustrates a method for using a default user identity to invoke intervention by a system administrator. This method is useful in authenticating and  
25 enrolling new users without requiring them to physically access a centralized facility. Following a start message to request access to a computing environment during step 800, a request is made for an assertion of an identity during step 805. The user provides a default user identification, which may be a blank string, in step 810. In response to the receipt of the default user identifier the system does not deny all access to the user and  
30 instead invokes a system administrator who decides whether to allow the user access to the computing environment and the level of authorization in step 815. If the system

AA  
5 administrator verifies the identity of the user, i.e., authenticate the user, then the domain controller permits the user to logon in step ~~820~~<sup>830</sup>. The domain controller then obtains a certificate to prove the user's identity during step ~~825~~<sup>835</sup>. At step ~~825~~<sup>840</sup> subsequent access to the computing resources utilizes the certificate to prove the user's identity without the need to invoke the system administrator.

FIGURE 9 illustrates an exemplary method for providing limited access to a user in a remote and non-secure site, which may be defined as requiring the use of one or more machines whose identity is unknown or a physical location that is outside of the intranet. In such a scenario it is advantageous to provide limited access that does not reflect all of the privileges the particular user may have had if operating from a secure site or machine.

10 In step 900 a request for access is made to a remote access point at via a proxy server followed by the customary request for an assertion of an identity in step 905. Providing an identity, which may be a user or machine identity, during step 910 results in a challenge during step 915 to prove the asserted identity. Step 920 includes the requester proving the asserted identity by providing a certificate from a trusted certificate authority.

15 The radius proxy server forwards the relevant transactions and the radius server charged with policing the security provides a Universal Resource Locator ("URL") to the user, in effect a port address, to allow access to the computing environment at step 925. This URL typically provides a lesser degree of access to network resources by the user than

20 the user would receive via an access point in the network.

FIGURE 10 summarizes steps in another embodiment of the invention for remote access to a secure computing resource. Step 1000 includes a request by a remote user to access a resource in a secure computing environment. This request may be made at an access point in another network and over the Internet. A RADIUS server handles the request and provides a URL in step 1005 to permit the requester to authenticate at the distant site. This connection is likely to be a secure connection, as is indicated in step 1010, and may use SSL and other similar technologies to authenticate the requester. In addition, the web page used for authentication may also request and accept information for accounting purposes. Such information includes credit card numbers, the time and

25 nature of resources requested and the like. At step 1015 a determination is made if the requested services are available. If the services are available an the authentication is

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carried out satisfactorily then in step 1020 authorization is provided to access the requested resources followed by the termination of the procedure. On the other hand if the requested resources are not available then the control passes from step 1015 to step 1030 to inform the requester that the resource or access is not available followed by termination at step 1025.

The methods described above allow automated management of a plurality of users, some of which have mobile computing units, in a network having dynamic links by permitting both machine and user based authentication combined with various levels of authorizations reflecting the relative security risks for the different users and links.

The secure link established by the methods described herein includes encryption. Encryption is enabled by the exchange of at least one key and the generation of additional keys by the access point and the mobile computing unit to make the communications secure. These keys may be symmetric or asymmetric. Such encryption includes frequent key changes to improve the security. Furthermore, in the event the secure link is disrupted and then reestablished at a new access point, which is connected to the earlier used access point, the mobile computing unit merely presents the identity of the earlier used access point and asserts its identity. The new access point confirms the previous authentication of the mobile computing unit and allows access without the need to re-authenticate the mobile computing unit. This strategy, combined with a time out, allows for a better computing experience by reducing the latency due to the time taken in authenticating a new mobile unit.

In view of the many possible embodiments to which the principles of this invention may be applied, it should be recognized that the embodiment described herein with respect to the drawing figures is meant to be illustrative only and should not be taken as limiting the scope of invention. For example, those of ordinary skill in the art will recognize that elements of the illustrated embodiment shown in software may be implemented in hardware and vice versa or that the illustrated embodiment can be modified in arrangement and detail without departing from the spirit of the invention. Therefore, the invention as described herein contemplates all such embodiments as may come within the scope of the following claims and equivalents thereof.

All of the references cited herein, including patents, patent applications, and publications, are hereby incorporated in their entireties by reference.